

# DEPARTMENT OF DEFENSE

## ADP INTERNAL CONTROL

### GUIDELINE



JULY **1988**

OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE  
(COMPTROLLER)

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<p>This Guideline provides the means to implement an automatic data processing (ADP) internal control program. The Department of Defense is allocating about \$8 billion annually on Automated Information Systems (AIS),.. is making AIS Life-Cycle Management (LCM) decision which involve multiples of that " amount, and is acquiring, fielding, operating and maintaining AISS that are ritical to our national security and defense. It is therefore important na t the Department of Defense promote and maintain a strong and viable .nternal control program on ADP.</p>				
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OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE

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**COMPTROLLER**

Information Resources  
Management

FOREWORD

The DoD is allocating about \$8 billion annually on Automated Information Systems (AISs), is making AIS Life-Cycle Management (LCM) decisions which involve multiples of that amount, and is acquiring, fielding, operating and maintaining AISs that are critical to our national security and defense. It is therefore important that the DoD promote and maintain a strong and viable internal control program on automatic data processing (ADP) systems. This Guideline provides the means to implement an ADP internal control program and is issued under the authority of DoD Directive 7740.1, "DoD Information Resources Management Program," June 20, 1983.

In November 1984, the first DoD ADP Internal Control Guideline was published. It provided a broad range of ADP internal management control techniques, as well as a series of applicable questionnaires to be used in conducting vulnerability assessments. Much has been learned since the initial publication.

The revised Guideline builds on these lessons, incorporates the latest Office Management and Budget guidance, applies LCM phasing, and provides managers and users with the background and knowledge needed to successfully implement a successful ADP Internal Management Control Program.

Send recommended changes for this Guideline to the Director for Policies and Standards, Office of the DASD(IRM), OASD(C), Washington, D.C. 20301-1100.

DoD Components may obtain copies of this Guideline through their own publication channels. Other Federal agencies and the public may obtain copies from the National Technical Information Service, 5285 Port Royal Road, Springfield, VA 22161.

A handwritten signature in black ink, reading "John P. Springett", is positioned above the printed name.

**John P. Springett**  
Deputy Assistant Secretary of Defense

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- (b) Public Law 97-225, .31 U. **S.C.** 66a Federal Managers' Financial Integrity Act of 1982, " September 8, 1982
- (c)** OMB Circular A-123 (**Revised**) , "Internal Control Systems , " August 4, 1986
- (d) **OMB** Circular A-127, "Financial Management Systems , " December 19, 1984
- (e) OMB Circular A-130, "Management of Federal Information Resources, " December 12, 1985
- (f) DoD Directive 5010.38, "Internal Management Control Program, " April 14, 1987
- (g) DoD Directive 7740.1, "DoD Information Resources Management Program, " June 20, 1983
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- (o)** DoD Instruction 7920.2, "Major Automated **Informat** ion Systems Approval Process , " October 20, 1978
- (p)** DoD Directive 7750.5, "Management and Control of Information Requirements , " August 7, 1986
- (q)** DoD Instruction 7041.3, "Economic Analysis and Program Evaluation for Resource Management , " October 18, 1972
- (r) DoD Directive 5200.28, "Security Requirements for Automated Information Systems (**AISs**) , " March 21, 1988
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- (t)** General Records Schedule 20, "Electronic Records, " April 5, 1988
- (u) NARA Bulletin No. 87-5, "Electronic **Recordkeeping**, " February 11, 1987
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